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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(DO/EO/US)**

In re national phase of:

Applicant(s): Antonio Pietro Sanfilippo
International Application No.: PCT/JP99/00259
International Filing Date: January 22, 1999
Earliest Priority Date Claimed: January 29, 1998
Title of Invention: SCORING OF TEXT UNITS

**TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED
OFFICE (DO/EO/US) CONCERNING ENTRY INTO U.S. NATIONAL
PHASE UNDER 35 U.S.C. 371**

Box PCT
Assistant Commissioner for Patents
Washington D.C. 20231

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information under 35 U.S.C. 371:

1. This express request to immediately begin national examination procedures (35 U.S.C. 371(f)).
2. The U.S. National Fee (35 U.S.C. 371(c)(1)) and other fees (37 CFR 1.492) as indicated below.
3. A copy of the International application (35 U.S.C. 371(c)(2)):
 - a. ☒ is transmitted herewith
(International Publication No. WO 99/39282).
 - b. ☐ is not required, as the application was filed with the United States Receiving Office.
 - c. ☐ has been transmitted by the International Bureau. A copy of Form PCT/IB/308 is enclosed.

4. ☒ A translation of the International application into the English language (35 U.S.C. 371(c)(2)) is transmitted herewith.
5. Amendments to the claims of the International application under PCT Article 34:
- a. ☒ are transmitted herewith.
- b. ☐ have been transmitted by the International Bureau.
6. ☒ A translation of the amendments to the claims under PCT Article 34 is transmitted herewith.
7. A copy of the international examination report (PCT/IPEA/409)
- a. ☒ is transmitted herewith.
- b. ☐ is not required as the United States Patent and Trademark Office was the IPEA.
8. Annex(es) to the international preliminary examination report
- a. ☒ is/are transmitted herewith (with English language translation).
- b. ☐ is not required as the United States Patent and Trademark Office was the IPEA.
9. ☒ A translation of the annexes to the international preliminary examination report is transmitted herewith.
10. ☐ An oath or declaration of the inventor (35 U.S.C. 371(c)(4)) complying with 35 U.S.C. 115 is submitted herewith.
11. An International Search Report (PCT/ISA/210)
- a. ☒ is transmitted herewith.
- b. ☐ has been transmitted by the International Bureau.
- c. ☐ is not required, as the application was searched by the United States International Searching Authority.

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12. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 is transmitted herewith, along with Form PTO-1449 and copies of citations listed.
13. ☐ An assignment document is transmitted herewith for recording, along with a separate cover sheet.
14. ☐ A preliminary amendment is enclosed.
15. ☐ A verified statement claiming small entity status is enclosed.
16. ☐ Other:

Transmittal Letter to United States Designated/Elected Office

Basic National Fee					Fee
IPEA - US					\$670.00
ISA - US					\$760.00
PTO not ISA or IPEA					\$970.00
Claims meet PCT Art. 33(1)-(4) - IPEA - US					\$96.00
Filing with EPO or JPO search report					\$840.00
Enter appropriate basic fee →					\$840.00
Claims*	Number filed		Number extra	Rate	
Total claims	9	-20	0	\$18.00	\$
Independent claims	1	-3	0	\$78.00	\$
Multiple dependent claims (if applicable)				\$260.00	
Total of above					\$840.00
Small entity statement enclosed, 1 if Yes, 0 if No →				0	\$0.00
Total national fee					\$840.00
Fee for recording enclosed assignment				\$40.00	
Total fees enclosed					\$840.00

*After any attached preliminary amendment reducing the number of claims and/or deleting multiple dependencies.

☒ A check in the amount of \$ 840.00 to cover the above fees is enclosed.

☐ Please charge our Deposit Account No. 18-0988 in the amount of \$. A duplicate copy of this sheet is enclosed.

WARNING: TO AVOID ABANDONMENT OF THE APPLICATION THE BASIC NATIONAL FEE MUST BE PAID WITHIN THE 20/30 MONTH TIME LIMIT.

16. The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the entire pendency of this application to our Deposit Account No. 18-0988:


a. ☒ 37 CFR 1.492(a)(1), (2), (3), (4) and (5) (filing fees)

WARNING: BECAUSE FAILURE TO PAY THE NATIONAL FEE WITHIN 30 MONTHS WITHOUT EXTENSION (37 CFR S 1.495(B)(2)) RESULTS IN ABANDONMENT OF THE APPLICATION, IT WOULD BE BEST TO ALWAYS CHECK THE ABOVE BOX.

b. ☐ 37 CFR 1.492(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.492(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

Respectfully submitted,



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DESCRIPTION

Scoring of Test Units

5 TECHNICAL FIELD

The invention relates to a method and a system for scoring text units (e.g. sentences), for example according to their contribution in defining the meaning of a source text (textual relevance), their ability to form a cohesive subtext (textual connectivity) or the extent and effectiveness to which they address the different topics which characterise the subject matter of the text (topic aptness).

15 BACKGROUND ART

When abridging a text it is desirable to select a portion of the text which is most representative in that it contains as many of the key concepts defining the text as possible (textual relevance). As an example, in EP-A-741364 (Xerox Corp.) disclosed a method of selecting key phrases from a machine readable document by (a) generating from the document a multiplicity of candidate phrases (units of more than one word), followed by (b)

5

Computing lexical cohesion for all pair-wise text unit combinations in a text provides an effective way of assessing textual relevance and connectivity in parallel, see for example Hoey M. (1991) Patterns of Lexis in Text.

5 OUP, Oxford, UK; and Collier A. (1994) A System for Automatic Concordance Line Selection. NEMLAP 1994, Manchester, UK. A simple way of computing a lexical cohesion for a pair of text units is to count non-stop words which occur in both text units. Non-stop words can
10 be intuitively thought of as words which have high informational content. They usually exclude words with a very high frequency of occurrence, e.g. closed class words such as determiners, preposition and conjunctions, see for example, Fox, C. (1992) Lexical Analysis and
15 Stoplists, in Frakes W and Baeza-Yates R (eds) Information Retrieval: Data Structures & Algorithms. Prentice Hall, Upper Saddle River, NJ, USA, pp 102-130.

A sample list of stop words is given below:-

20

a about above across after again against all almost alone
along already also although always among and another any
anybody anyone anything anywhere are area areas around
as ask asked asking asks at away b back backed backing

backs be became because become becomes been before began
behind being beings best better between big both but by
c came can cannot case cases certain certainly clear
clearly come could d did differ different differently
5 do does done down downed downing .;..... v very w
want wanted wanting wants was way ways we well
wells went were what when where whether which while
who whole whose why will with within without work
worked working works would x y year years yet you
10 young younger youngest your yours z

Text units which contain a greater number of shared
non-stop words are more likely to provide a better
abridgement of the original text for two reasons:

15 the more often a word with high informational content
occurs in a text, the more topical and germane
to the text the word is likely to be, and

20 the greater the times two text units share a word,
the more connected they are likely to be.

As an illustrative example, consider the ranking of the
following sample text, where digits surrounded by hash

characters (#) are text unit indexes.

- 5 #1# Report: Apple looking for a Partner
- #2# NEW YORK (Reuter) - Apple is actively looking for
a friendly merger partner, according to several
executives close to the company, the New York
Times said in Thursday.
- 10 #3# One executive who does business with Apple said
Apple employees told him the company was again
in talks with Sun Microsystems, the paper said.
- #4# On Wednesday, Saudi Arabia's Prince Alwaleed Bin
Talal Bin Abdulaziz Al Saud said he owned more
than five percent of the computer maker's stock,
recently buying shares on the open market for a
15 total of \$115 million.
- #5# Oracle Corp Chairman Larry Ellison confirmed on
March 27 he had formed an independent investor
group to gauge interest in taking over Apple.
- 20 #6# The company was not immediately available to
comment.

To compute lexical cohesion according to the method
suggested by Hoey, (see above reference), all unique
pairwise combinations of text units are scored according

to how many words they share, as shown in the table below.

Text unit pairs		Words shared	Score
#1#	#2#	Apple, look, partner	3
#3#	#5#	Apple, Apple	2
#1#	#3#	Apple, Apple	2
#3#	#6#	company	1
#1#	#4#		0
#4#	#5#		0
#1#	#5#	Apple	1
#4#	#6#		0
#1#	#6#		0
#5#	#6#		0
#2#	#3#	Apple, Apple, executive, company	4
#2#	#4#		0
#2#	#5#	Apple	1
#2#	#6#	company	1
#3#	#4#		0

The number of shared words (including multiple occurrences of the same word) in each text unit pair provides the individual score for that pair. For example, the individual scores for all pairs involving text unit #2# are:-

	#1#	#2#	#3#	#4#	#5#	#6#
#2#	3	-	4	0	1	1

Table 1

The final score for a given text unit is obtained by summing the individual scores for that text unit. According to Hoey (see above reference), the number of links (e.g. shared words) across two text units must be above a certain threshold for the two text units to achieve a lexical cohesion rank. For example, if only individual scores greater than 2 are taken into account, the final score for text unit #2# is (3+4=) 7. Proceeding in the same way, the final scores for text units #1# and #3# are 3 and 4 respectively.

Such a scoring provides the following ranking:

first: text unit #2# (final score: 7);
second: text unit #3# (final score: 4); and
third: text unit #1# (final score: 3).

A text abridgement can be obtained by selecting text units in ranking order according to the text percentage specified by the user. For example, a 35% abridgement of the text (ie. an abridgement of up to 35% of the total number of text units in the sample text) would result in the selection of text units #2# and #3#.

Further details about lexical cohesion and the ways in which it can be used to aid summarisation can be found in Hoey and Collier references mentioned above.

- 5 Other prior art on related technology includes, Doi (1991) Method and apparatus for producing an abstract of a document - US patent 5077668; Ukita et al. (1993) Digital Computing Apparatus for Preparing Document Text - US patent 5257186; Withgott et al. Method and apparatus for
10 Summarising documents according to theme - US patent 5384703; and Pedersen, J. & J. Tukey (1997) Method and Apparatus for Automatic Document Summarisation - US patent 5638543.

15 DISCLOSURE OF INVENTION

It is an object of the invention to provide a method and system for ranking text units which overcomes at least some of the disadvantages of the prior art.

- 20 According to the invention there is provided a method of operating on a text including a plurality of text units, each including one or more strings, the method including the steps of:

forming a structure for each of at least some of said strings, in which structure the string is associated with each text unit in which the string occurs;

5 for each text unit summing the number of occurrences of each other text unit in the same structure or structures so as to form an individual score for each pair of text units; and

10 processing said individual scores for each text unit in order to form a final score for each text unit.

The use of such structures considerably reduces the time taken to operate on the text because it is no longer
15 necessary to count the number of strings shared between all possible pairs of text units in turn.

More specifically, the degree of connectivity of a text unit with all other text units in a text can be simply
20 assessed by quantifying the elements (e.g. words) which each text unit shares with pairs built by associating each element in the text with the list of pointers to the text units in which the element occurs. This provides a significant advantage in terms of processing speed when

compared to a method such as the one described by Hoey (1991) and Collier (1994) where the same assessment is carried out by computing all pairwise combinations of text units. In particular, the word-per-second processing rate is significantly less affected by text size.

The method may include the further step of ranking the text units on the basis of said individual scores.

10 In one embodiment of the invention, said text units are sentences, said strings are words forming said sentences, and the method includes the additional steps of removing stop-words, stemming each remaining word and indexing the sentences prior to carrying out said summing step, and
15 said structures are stem-index records each including a stemmed word and one or more indexes corresponding to sentences in which said stemmed word occurs.

20 In an alternative embodiment, said text is associated with a word text including words, each word being associated with one or more subject codes representing subjects with which said word is associated, and said strings are subject codes associated with said words.

In this case the method may comprise the further step of keeping a record of the word spelling associated with each occurrence of a subject code in a text unit, and during said summing step disregarding occurrences of the same subject code in a pair of text units if the same word spelling is associated with said same subject code in said pair of text units.

It will be appreciated that each word may have a number of possible subject codes, some of which are contextually inappropriate for the context in which the word is being used. The last-mentioned feature allows the method to perform disambiguation of the subject codes, by disregarding occurrences of subject codes which are contextually inappropriate, as will be described in greater detail below.

Said step of disregarding occurrences of subject codes may not be carried out for subject codes which relate to only a single word spelling in the word text.

Said processing step may include calculating a level for each text unit, in addition to said final score, and said level may indicate the value of the highest of said

individual scores in relation to a threshold value.

This allows text units to be ranked first according to level, and second according to said final score, if
5 desired.

The invention also provides a storage medium containing a program for controlling a programmable data processor to perform the method described above.

10

The invention also provides a system for ranking text units in a text, the system including a data processor programmed to perform the steps of the method described above.

15

BRIEF DESCRIPTION OF DRAWINGS

Preferred embodiments of the invention will now be described, by way of example only, with reference to the accompanying drawings, in which:

20

Figure 1 shows a flow chart outlining some of the steps involved in a preferred embodiment of the invention.

Figure 2 shows a flow chart which is a continuation of the flow chart of Figure 1; and

Figure 3 shows an apparatus suitable for carrying out the
5 methods described below.

BEST MODE FOR CARRYING OUT THE INVENTION

In an embodiment of the invention described below the ranking of text units is carried out with reference to
10 the presence of shared words across text units. The assessment of textual relevance and connectivity can both be carried out by counting shared links (e.g. identical words) across all text unit pairs. The method makes it possible to perform this assessment by quantifying the
15 elements (e.g. words) which each text unit shares with stem-index pairs, each such pair comprising an element in the text and a list of pointers to the text units in which the element occurs. This technique makes it possible to rank text units at a processing rate which
20 is significantly less affected by text size than a system where the same assessment is carried out by computing all pair wise combinations of text units.

The ranking is done by assessing

- how germane each text unit is to the source text (textual relevance);
- how well connected each text unit is to other text units in the source text (textual connectivity); and
- 5 how well each text unit represents the various topics dealt with in the source text (topic aptness).

10 In a further embodiment described below, the same technique is used for assessment of topic aptness. Shared links across text units are verified in terms of overlapping semantic codes associated with words (e.g. the connotations business and government for the word executive) with reference to a dictionary or thesaurus database providing a specification of such

15 codes for word entries.

The method can be divided into two phases, namely a preparatory phase, followed by a ranking phase. In the preparatory phase the text undergoes a number of

20 normalisations which have the purpose of facilitating the process of computing lexical cohesion. This phase includes the following operations:

text segmentation;

- removal of formatting commands;
- recognition of proper names;
- recognition of multi-word expressions;
- removal of stop words; and
- 5 word tokenization.

Further ways of normalizing the input text are also mentioned later in the specification.

- 10 The object of segmentation is to partition the input text into text units which stand on their own (e.g. sentences, titles, and section headings) and to index such text units, for example as shown in the sample text given above.

- 15 Next, formatting commands such as the HTML (hyper-text mark-up language) mark-ups in the text are dealt with.

The sample text including HTML formatting commands looks like the following:-

20

```
<h2>Report: Apple Looking for a Partner</h2>
<! TextStart -->

<p>
NEW YORK (Reuter) - Apple is actively looking for a
```

friendly merger partner, according to several executives close to the company, the New York Times said on Thursday.

<p>

5 One executive who does business with Apple said Apple employees told him the company was again in talks with Sun Microsystems, the paper said.

<p>

10 On Wednesday, Saudi Arabia's Prince Alwaleed Bin Talal bin Abdulaziz Al Saud said he owned more than five percent of the computer maker's stock, recently buying shares on the open market for a total of \$115 million.

<p>

15 Oracle Corp Chairman Larry Ellison confirmed on March 27 he had formed an independent investor group to gauge interest in taking over Apple.

<p>

The Company was not immediately available to comment.
<!--TextEnd -->

20

In the present embodiment, the formatting commands are simply removed, but alternative treatments are mentioned below.

A facility for recognizing proper names and multi-word expressions is also included. Such a facility makes it possible to process expressions such as Apple, New York, New York Times, gauge interest as single units which should not be further tokenized. The recognition of such units ensures that expressions which superficially resemble each other, but have different meanings - e.g. Apple (the company) and apple (the fruit), or York in New York (the city) and New York Times (the newspaper) - do not actually generate lexical cohesion links. For further information relating to recognising proper nouns and multi-word expressions reference can be made respectively to David McDonald (1996) Internal and External Evidence in the Identification and Semantics Categorization of Proper Names, In B. Boguraev and J. Pustejovsky (eds) Corpus Processing for lexical Acquisition, MIT Press and Justeson, J. S. and Katz, S.M., 1995. Technical terminology: some linguistic properties and an algorithm for identification in text. In Natural Language Engineering, 1:9--27.

Next, all words in the input text which match stop words, such as those mentioned above, are removed. This step ensures that words which are low in informational content are not taken into account when assessing lexical

cohesion. After stop-word removal, the calculation of shared words across text units is further optimized by tokenizing non-stop words. Word tokenization is achieved by reducing words into stems or citation forms, e.g.

5

<i>Input strings</i>	<i>stems</i>	<i>citation forms</i>
actively looking	activ look	active look

10

15

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Citation forms generally correspond to the manner in which words are listed in conventional dictionaries, and the process of reducing words to citation form is referred to as lemmatisation. Reduction of words to stem form generally involves a greater truncation of the word in which all inflections are removed. The purpose of reducing words of stems or citation forms is to achieve a more effective notion of word sharing, e.g. one which abstracts away from the effects of inflectional and/or derivational morphology. Stemming provides a very powerful word tokenization technique as it undoes both derivational and inflectional morphology. For example, stemming makes it possible to capture the similarity between the words nature, natural, naturally, naturalize, naturalizing as they all reduce to the stem natur. Word reduction to citation form would only capture the relationship between naturalize and naturalizing. In the

present embodiment, stemming will be used. For a description of some stemming techniques reference can be made to, Frakes W. (1992) Stemming Algorithms, in Frakes W and Baeza-Yates R (eds) Information Retrieval: Data Structures & Algorithms. Prentice Hall, Upper Saddle River, NJ, USA, pp. 131-160. For further information relating to lemmatisation reference can be made to Hadumod Bussmann (1996) Routledge Dictionary of Language and Linguistics, Routledge, London, P.272 Following the stages of stop-word removal and stemming, the sample text is as shown below.

#1# report Apple look partner
#2# New-York Reuter Apple activ look friend merger
partner accord
execut close company New-York-Times Thursday
#3# execut busy Apple Apple employ tell company talk
Sun-Microsystems
paper say
#4# Wednesday Saudi-Arabia Prince
Alwaleed-Bin-Talal-Bin-Abdulaziz-Al-Saud
own percent computer maker stock
recent buy share market total 115 million
#5# Oracle-Corp Chairman Larry-Ellison confirm

March 27 form independent

investor gauge-interest take-over Apple

#6# company immediat avail comment

5 Following the preparatory phase described above, the
textual relevance and connectivity of each text unit is
assessed by measuring the number of stems which the text
unit shares with each of the other text units in the sample
text. The ranking process comprises two main stages: the
10 indexing of tokenized words, and the scoring of tokenized
words in text units.

15 In the first stage, all stems in the normalized text,
which has undergone the preparatory phase described
above, are indexed with reference to the text units in
which they occur. For example, Apple occurs five times
in four of the text units in the normalised text: once
in #1#, #2#, #5# and twice in #3#. Consequently, a record
is made where Apple is associated with these text unit
20 indexes:

<Apple {#1#, #2#, #3#, #3#, #5#}>

A similar record is made for each other stem in the

normalised text, each record being referred to as a stem-index record.

5 A final text unit score is calculated for each text unit using the list of stem-index records resulting from the indexing stage described above. The objective of such a scoring process is to register how often the tokenized words from a text unit occur in each of the other text units. In performing this assessment, provisions are
10 made for a threshold which specifies the minimal number of links required for text units to be considered as lexically cohesive. The recursive scoring procedure is used to generate the final scores for each text unit makes use of the following variables.

15

TRSH is the lexical cohesion threshold

TU is the current text unit

LC^{TU} is the current lexical cohesion score of TU (i.e.

20

LC^{TU} is the count of tokenized words TU shares with some other text unit).

CLevel is the level of the current lexical cohesion score calculated as the difference between LC^{TU} and TRSH

Score is the lexical cohesion score previously

assigned TU (if any)

Level is the level for the lexical cohesion score
previously assigned to TU (if any)

5 The scoring procedure makes use of a scoring structure
<level, TU, Score>, and is repeated for each text unit
in turn, in order to produce the final score for the text
unit TU (ie. the final value of Lc^{TU} in the scoring
structure). The procedure can then be repeated for other
10 text units TU. The recursive scoring procedure used in
this exemplary embodiment is as follows.

if $Lc^{TU} = 0$, then do nothing
else, if the scoring structure <Level, TU, Score>
15 exists, then
if Level > CLevel, then do nothing
else, if Level = CLevel, then the new scoring
structure <Level, TU, Score + Lc^{TU} >
else, if CLevel > 0, then
20 if Level > 0, then new scoring structure is
<1, TU, Score + Lc^{TU} >
if $Level \leq 0$, then the new scoring structure
is <1, TU, Lc^{TU} >
else if $CLevel \leq 0$ the new scoring structure is

<CLevel, TU, Lc^{TU}>

else (if the scoring structure does not exist then)
 if CLevel > 0, then create the scoring structure <1,
 TU, Lc^{TU}>

5 else create the scoring structure <CLevel, TU, Lc^{TU}>

10 The above procedure can be more readily understood by
 referring to Figure 1, which shows the procedure in the
 form of a flow chart. In the flow chart decisions are
 indicated by diamond-shaped boxes. If the answer to the
 question within the box is yes, the procedure follows
 the arrow labelled Y at the bottom of the box, other wise
 the procedure follows the arrow labelled N at one of the
 sides of the box.

15 The start of the procedure is indicated by step 10. In
 step 12 the index of the first text unit of the
 normalised text is taken and represented by #TU#. In
 step 14 the index of the last text unit is taken and
 20 represented by #B#. In the sample text given above, the
 last text unit is text unit #6#. The procedure then
 flows to step 16 where the lexical cohesion score of #TU#
 and #B# is calculated and assigned to Lc^{TU}. This lexical
 cohesion score is the individual score referred to above

and shown in Table 1. However, the manner in which it is calculated differs from that described above, and will now be described.

5 Suppose for example, we are scoring text unit #2# (i.e. #TV# = #2#) with a lexical cohesion threshold of 2. First, all stem-index records whose stem is present in text unit #2# are selected, as shown below.

```
10  <Apple {#1#, #2#, #3#, #3#, #5#}>
    <company {#2#, #3#, #6#}>
    <execut {#2#, #3#}>
    <look {#1#, #2#}>
    <partner {#1#, #2#}>
```

15

Stems which are associated with only one text unit index are eliminated from this list as they simply occur in a text unit, but do not connect a pair of text units.

20 Then a tuplet is formed consisting of the index for the text unit to be scored for lexical cohesion (i.e. #2#), and all the stem-index records whose stem occurs in that text unit, as shown below.

<Apple {#1#, #2#, #3#, #3#, #5#}>

<company {#2#, #3#, #6#}>
 < #2# <execut {#2#, #3#}> >
 <look {#1#, #2#}>
 <partner {#1#, #2#}>

5

Next, identical index occurrences in the tuple are summed together, to give the following results.

	#1#	#2#	#3#	#4#	#5#	#6#
#2#	3	-	4	0	1	1

10

Table 2

Index occurrences referring to the text unit being assessed (i.e. #2#) are not counted as they do not register lexical cohesion (thus the second entry in the table is blank).

15

The same procedure of forming a tuple and summing identical index occurrences is then carried out for each other text unit. For example, the tuple for text unit #6# is:-

20

<#6# <company {#2#, #3#, #6#}>>

This is simpler than the tuple for text unit #2# because company is the only stem which text unit #6# shares with any other text unit. This tuple gives the

5

	#1#	#2#	#3#	#4#	#5#	#6#
#6#	0	1	1	0	0	-

Table 3

This method is considerably faster than that of the prior art because it does not involve a comparison of every pair of text units for each word in the sample text.

10

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20

The final cohesion score of text units #2# and #6# is calculated by applying the scoring procedure of Figure 1 to each row in table 2 and table 3 respectively. Scoring a text unit according to this procedure involves adding the individual scores which are either above a threshold (for Level 1), or below the threshold and of the same magnitude (for lower levels) (The use of Levels in the procedure is discussed below).

Having discussed the way in which individual lexical cohesion scores (for each text unit pair) are calculated in step 16 using tuples, we shall return to Figure 1 to

follow the procedure for calculation of the final lexical cohesion score for each text unit. However, before returning to Figure 1 it is noted that the simplest way of forming the final score would be to sum the individual scores for each text unit (i.e. for #2# and #6#, sum each row in Tables 2 and 3 above), whilst ignoring all individual scores below a certain threshold value. However, the procedure of Figure 1 goes further in that it determines not only a final score for each text unit, but also a level for each text unit, as discussed below.

The highest level is 1, which indicates that the greatest individual score (for a given text unit) is above the threshold. The final score for that text unit is then simply the sum of all individual scores (for that text unit) which are above the threshold.

The meanings of level 1 and the next three levels below level 1, and the ways in which the final score for these levels is calculated, are shown in the table below.

Level	Meaning of Level	Final Score
1	Greatest individual score > threshold	Sum of all individual scores above threshold
0	Greatest individual score = threshold	Sum of all individual scores equal to threshold.
-1	Greatest individual score = threshold -1	Sum of all individual scores equal to threshold - 1
-2	Greatest individual score = threshold -2	Sum of all individual scores equal to threshold - 2

It will be seen that if threshold = 0, only level 1 exists, and the final score for a given text unit is simply the sum of all individual scores for that text unit. In fact the total number of levels is equal to the threshold + 1.

Some examples of individual scores, and the levels and final scores they produce (by following the procedure of Figure 1) for a threshold of 2 are given below.

Individual scores	Level	Final Score
20201	0	4
11000	-1	2
56200	1	11
11111	-1	5

The purpose of calculating a level for each text unit is

to allow the text units to be ranked first according to level (highest level first) and second according to final score (highest final score first). In this way, text units having no individual scores above the threshold are not necessarily ignored in the subsequent summarisation process.

Returning to Figure 1, in step 18 the procedure branches into two depending on whether $LC^{TU} = 0$, where LC^{TU} is the lexical cohesion score of the text unit currently being considered. A lexical cohesion score of zero between two text units (ie. $LC^{TU}=0$) indicates that the two text units do not share any stems. If $LC^{TU} = 0$ then the procedure goes to step 20. As discussed below, the text unit index #B# is decremented by 1 at step 28 during each cycle of the procedure. At step 20, if #B# has reached 1 then #TU# is incremented by 1 in step 22. That is, the next text unit (in this case #2#) is assigned to #TU#. In step 24 the procedure is stopped (at step 26) if #TU# has reached the maximum value +1 (i.e. $6+1=7$ for our sample text), otherwise control passes back to step 14.

At step 20, if #B# has not yet been decreased to the first text unit (i.e. #1#) then control passes to step

28, in which #B# is decremented by 1 (ie. the next lower text unit is assigned to #B#.

It will therefore be seen that the effect of steps 10 to 5 28 is to calculate the individual lexical cohesion scores for all pairs of text units.

Returning to step 18, if LC^{TU} does not equal 0, then control passes to step 30, which determines whether or not the scoring structure <Level, TU, Score> already exists. The first time that step 30 is reached no scoring structure will already exist, and control will pass to step 32, which determines whether CLevel is greater than 0. CLevel is the current value of Level and is equal to $(LC^{TU} - TRSH)$, where TRSH is the lexical cohesion threshold, which is selected in advance. In steps 34 and 36 values are assigned to the scoring structure according to the outcome of step 32, and control then passes back to step 20.

20

At step 30, if the scoring structure already exists (which will always be the case except for the first time step 30 is reached for each value of TU, given that the first time step 30 is reached values are assigned to the

scoring structure at steps 34 and 36 as described above), control passes to step 38 which determines whether Level (i.e. the previous value of CLevel) is greater than CLevel. If so, control passes back to step 20. Otherwise,

5 control passes to step 40, which determines whether Level is equal to CLevel. If so, new values are assigned to the scoring structure in step 42, and control passes back to step 20. Otherwise, control passes to step 44 (see Figure 2), which determines whether CLevel is greater

10 than 0. If so, control passes to step 46, and new values are assigned to the scoring structure in step 48, or step 50, depending on whether the level is greater than 0, and control passes back to step 20. At step 44, if CLevel is not greater than 0, control passes to step 52, which

15 determines whether CLevel is less than, or equal to, 0. If step 52 is reached, the answer to this question should always be yes, so that new values are assigned to the scoring structure in step 54, and control is passed back to step 20.

20

Following the procedure of Figure 1 for all text units in the sample text, and a threshold of 2, the levels and final scores assigned to each text unit are as follows:-

Text Unit	Level	Score
#1#	1	3
#2#	1	7
#3#	1	4
#4#	-	0
#5#	0	2
#6#	-1	2

These provide the following ranking of text units in terms of lexical cohesion.

Rank	Text Unit	Level	Score
1 st	#2#	1	7
2 nd	#3#	1	4
3 rd	#1#	1	3
4 th	#5#	0	2
5 th	#6#	-1	2
6 th	#4#	-	0

This shows the preferred order in which the text units will be selected in a summarisation process. It is noted that no level is assigned to text unit #4#, as this text unit shares no stems with any other text unit.

When used with a dictionary database providing information about the subject domain of words the method described above can be slightly modified to detect the major themes and topics of a document automatically. As an example, the words in our sample text have the

following subject domain codes.

Word	Associated Codes
actively-adv	OR
business-n	BZ
buy-v	MAR, MERG, MI
confirm-v	CHR
company-n	F,MI, SCG, TH
employee-n	LAB
executive-n	BZ, GOV
friendly-adj	FA, G,
group-n	GROU, OR, POP
independent-adj	CHT, FA
interest-n	BZ, EC, G, J, U
investor-n	IV, ON
look-v	PHYA
maker-n	IC
market-n	BZ, MAR
merger-n	MERG
open-adj	CER, PFE
own-v	MEN
paper-n	PAPP
partner-n	DA, F, MGE, TG
say-v	CN
stock-n	AH, AM, AP, BRE, FLW
	FOO, GU, IV, PM
take-v	EC, PG, SH, V, WRI
talk-n	RHE

The meanings of these codes are given below:-

CODE	Explanation
AH	Animal Farming & Husbandry
AM	Animal Names (not taxonomic terms (TAXI))
AP	Anthropology & Ethnology (incl racial groups)
BRE	Breeds and Breeding
BZ	Business & Commerce
CER	Ceremonies
CHR	Christianity
CHT	Character Traits (eg. meddlesome, mellow, outgoing)
CN	Communications (eg. telephony, telegraphy, audiovisual, information science, radio)
DA	Dance & Choreography
EC	Economics & Finance
F	Finance & Business
FA	Overseas Politics & International Relations
FLW	Flower Names: plants known primarily as flowers
FOO	Foods: all edible items
G	Sports (incl Games & Pastimes)
GOV	Government Admin & Organisations (eg reshuffles)
GROU	Groups of Musicians
GU	Guns
IV	Investment & Stock Markets
J	Crime and the Law
JC	Judaeo-Christian Religion
LAB	Staff and the Workforce (incl Labour relations)
MAR	Marketing & Merchandising
MEN	Mental States & Feelings (eg. depressed, tense, non-plussed)
MERG	Mergers, Monopolies, Takeovers, Joint Ventures
MGE	Marriage, Divorce, Relationships & Infidelity
MI	Military (the armed forces)
ON	Occupations & Trades
OR	Organisations, Groups & Orders
PAPP	Paper & Stationery
PFE	Banking & Personal Finance
PG	Photography
PHYA	Animal physiology
PM	Plant Names
POP	Pop & Rock
RHE	Rhetoric & Oratory (eg. ad lib, eulogy, scripted)
SCG	Scouting & Girl Guides
SH	Clothing
TG	Team Games
TH	Theatre
U	Politics, Diplomacy & Government
V	Travel and Transport (incl. transport infrastructure)
WRI	Writing

A further embodiment relating to subject analysis involves a method which is the same as that described above, except that each word is first lemmatised (rather than stemmed), and then replaced by all of the subject domain codes associated with that word. The individual scores for pairs of text units are then calculated on the basis of shared codes rather than shared words, using code-index records, rather than stem-index records.

10 However, an extra (disambiguation) step is required in order to avoid (or at least reduce the chances of) counting codes which are out of context, that is codes which relate to senses of the word other than the intended sense. The disambiguation step involves dropping text unit indexes from the code-index records of tuples if they relate to the same word as the first element (i.e. text unit index) of the tuple. This requires that the word associated with each text unit index in each code-index record be remembered (i.e. recorded) by the procedure. This procedure can be demonstrated by the following example.

In the sample text the code BZ (Business & Commerce) is associated with the words;

executive occurring once in text units #2# and #3#
business occurring once in text unit #3#
market occurring once in text unit #4#
interest occurring once in text unit #5#

5

Consequently, a code-index record can be made where the subject domain code BZ is associated with these text unit indexes, that is:

10 <BZ {#2# #3# #3# #4# #5#}>

The full list of code-index records for the sample text is shown below (instances where a code occurs in a single text unit are removed as they do not represent lexical cohesion links).

15

<BZ { #2# #3# #3# #4# #5# }>

<CN {#2# #3# #3# #4#}>

<DA {#1# #2#}>

20 <F {#1# #2# #2# #3# #6#}>

<FA {#2# #5#}>

<GOV { #2# #3# }>

<IV {#4#.#5#}>

<MGE { #1# #2# }>

<MI {#2# #3# #6#}>

<SCG {#2# #3# #6#}>

<TG {#1# #2#}>

<TH {#2# #3# #6#}>

5

The first tuple (disregarding the disambiguation step mentioned above) is then:

<DA {#1# #2#}>

10 <#1# <F {#1# #2# #2# #3# #6#}>>

<MGE {#1# #2#}>

<TG {#1# #2#}>

and so on for the other tuples.

15

To simplify matters, in order to illustrate the disambiguation step, rather than calculate the individual scores for each pair of text units, we shall consider only the contribution to the individual scores which is made by one of the codes, for example code BZ. The BZ components of all the tuples are:

20

<#2# <BZ {#2# #3# #3# #4# #5#}>>

<#3# <BZ {#2# #3# #3# #4# #5#}>>

<#4# <BZ {#2# #3# #3# ~~#4#~~ #5#}>>

<#5# <BZ {#2# #3# #3# #4# ~~#5#~~>>

Where indexes are identical with the first index of each
 5 tuple are shown in strikethrough to indicate that they
 are excluded, as above.

When allowance is made for the fact that each index is
 associated with a particular word, the BZ components of
 10 the tuples become:

<#2 (executive) # <BZ {#3 (business)# #4# #5#}>>

<#3 (executive) # <BZ {#4# #5#}>>

<#3(business)#<BZ{#2(executive)#, #4#, #5#}>>.

<#4# <BZ {#2# #3# #3# #5#}>>

15 <#5# <BZ {#2# #3# #3# #4#}>>

Where the disambiguation step is illustrated above by
 showing indexes relating to words identical with the first
 index of each tuple in strikethrough to indicate that
 they are excluded. The final tuples are then:

20

<#2 (executive) # <BZ {#3 (business)# #4# #5#}>>

<#3 (executive) # <BZ {#4# #5#}>> nb. #2 (executive) #
 excluded.

<#3 (business) # <BZ {#2# #4# #5#}>>

<#4# <BZ {#2# #3# #3# #5#}>>

<#5# <BZ {#2# #3# #3# #4#}>>

The contribution made by BZ to the individual scores of
5 text unit pairs are then as follows:

	#1#	#2#	#3#	#4#	#5#	#6#
#1#	-	0	0	0	0	0
#2#	0	-	1	1	1	0
#3#	0	1	-	2	2	0
#4#	0	1	2	-	1	0
#5#	0	1	2	1	-	0
#6#	0	0	0	0	0	-

When the same procedure is followed for certain other
codes, such as DA, FA, GOV etc, no valid triplets result.

15 This is because the text unit indexes within the
code-index records for these codes all relate to the same
word. For example, the code GOV arises from the word
"executive" which occurs in text units #2# and #3#, thus
creating the code-index record <GOV {#2# #3#}> mentioned

20 above. Because this code-index record does not form a
valid triplet, the "Government" sense of the word
"executive" makes no contribution to the individual
scores mentioned above. We have already seen that the
Business sense of the word "executive", does make such

a contribution, which is the desired result because it is the "Business" sense of the word which is intended in the sample text. The method thus achieves a degree of disambiguation of the subject domain codes, and rejects codes which are out of context.

Only instances where the words related to the same code differ in spelling are taken into account. This makes it possible to achieve higher precision in individuating salient themes/topics and assessing their relative importance. Taking the intersection of code sets for words with different spelling occurring in the same document tends to exclude contextually inappropriate interpretations for the words.

However, in cases where a word in the sample text is associated with only one subject code, the disambiguation step is not carried out because no disambiguation is necessary. Hence the code CN, relating to the word "say" remains.

The following table shows the text unit pairs which each code connects.

CODES	TEXT UNIT PAIRS
BZ	2-3 2-4 2-5 3-4 3-5 3-2 3-4 3-5 4-2 4-3 4-3 4-5 5-2 5-3 5-3 5-4
F	1-2 1-3 1-6 2-1 2-3 2-6 3-1 3-2 6-1 6-2
FA	2-5 5-2
IV	4-5 5-4
CN	3-4 4-3

Only five codes form valid triplets, all the other codes being excluded (as described above).

In total, we have: 16 text unit pairs for BZ, 10 for F, and 2 for FA and IV and CN. These data can be used to rank text units in the sample text in terms of topic aptness by adaptation of the procedure of Figure 1.

The total of all individual scores for each subject domain code (eg. 16 for BZ, etc) can be converted into percent age ratios to provide a topic/theme profile of the text as shown in the table below:-

50%	BZ	Business & Commerce
31.25%	F	Finance & Business
6.25%	IV	Investment & Stock Markets
6.25%	FA	Overseas Politics & International Relations
6.25%	CN	Communications

For example, the percentage for BZ is calculated as
 $16/(16+10+2+2+2) = 50\%$

When used in a summarization system, the level-based
5 differentiation of text units obtained through the
ranking procedure of Figure 1 (whether based on words or
on codes) can be made to provide an automatic indication
of abridgement size, for example by automatic selection
of all level 1 text units.

10

Summary size can also be specified by the user, e.g. as
a percentage of the original text size, the selected text
units being chosen from among the ranked text units with
higher levels and higher scores.

15

The methods described can also be used as indexing devices
in various information systems such as information
retrieval and information extraction systems. For
example, in a database comprising a large number of texts
20 it is often desirable to provide a short abstract of each
text to assist in both manual and computer searching of
the database. The methods described above can be used to
generate such short abstracts automatically.

The ranking method described above can also be applied taking into account additional ways of assessing lexical cohesion, which could be used at step 18 of Figure 1, such as:

5

the presence of synonyms across text units as established by consulting an electronic dictionary of synonyms;

10

the presence of words sharing the same semantic indicators across text units as established by consulting an electronic dictionary, as in the example with subject domain codes discussed above;

15

the presence of near-synonymous words across text units established by estimating the degree of semantic similarity between word pairs, as in the method disclosed in British Patent Application No. 9717508.7.

20

the presence of anaphoric links across text units, i.e. links between a referential expression such as a pronoun or a definite description (e.g. The company in text unit #6#, and its antecedent (Apple in text unit #5#).

The same ranking method described in the preferred embodiment can also be applied by using formatting commands as indicators of the relevance of particular types of text fragments. For example, text fragments enclosed in formatting commands encoding titles and section headings such as

<h2>Report: Apple Looking for a Partner</h2>

10 typically contain words which can be effectively used to provide an indication of the main topic in a text. These words can be given extra weight in the above method, and thus be used to assign additional textual relevance to text units which contain them, e.g. by increasing
15 further the lexical cohesion score of such text units during the ranking procedure described above. Formatting commands can also be selectively preserved so as to maintain as much of the page layout for the original text as possible.

20

The ranking method described above can also be applied by using lemmatizing instead of stemming as a word tokenization technique, or dispensing with word tokenization altogether.

The same ranking method can also be applied to texts written in a language other than English, by providing

- a list of stop words for the language;
- 5 a stemmer or lemmatizer for the language; and
- any additional means for assessing lexical cohesion in the language such as semantic similarity and anaphoric links

- 10 Figure 3 shows schematically a system suitable for carrying out the methods described above. The system comprises a programmable data processor 70 with a program memory 71, for instance in the form of a read only memory ROM, storing a program for controlling the data processor
- 15 70 to perform, for example, the method illustrated in Figures 1 and 2. The system further comprises non-volatile read/write memory 72 for storing, for example, the list of stop words and the subject domain codes mentioned above. Working or scratch pad memory for
- 20 the data processor is provided by random access memory (RAM) 73. An input interface 74 is provided, for instance for receiving commands and data. An output interface 75 is provided, for instance for displaying information relating to the progress and result of the procedure.

A text sample may be supplied via the input interface 74 or may optionally be provided in a machine-readable store 76. A thesaurus and/or a dictionary may be supplied in the read only memory 71 or may be supplied via the input interface 74. Alternatively, an electronic or machine-readable thesaurus 77 and an electronic or machine-readable dictionary 78 may be provided.

10 The program for operating the system and for performing the method described hereinabove is stored in the program memory 71. The program memory may be embodied as semiconductor memory, for instance of ROM type as described above. However, the program may be stored in
15 any other suitable storage medium, such as floppy disc 71a or CD-ROM 71b.

INDUSTRIAL APPLICABILITY

20 The use of the structures according to the present invention considerably reduces the time taken to operate on the text because it is no longer necessary to count the number of strings shared between all possible pairs of text units in turn.

More specifically, the degree of connectivity of a text unit with all other text units in a text can be simply assessed by quantifying the elements (e.g. words) which each text unit shares with pairs built by associating each element in the text with the list of pointers to the text units in which the element occurs. This provides a significant advantage in terms of processing speed when compared to a method such as the one described by Hoey (1991) and Collier (1994) where the same assessment is carried out by computing all pairwise combinations of text units. In particular, the word-per-second processing rate is significantly less affected by text size.

CLAIMS

1. A method of operating on a text comprising a plurality
of text units, each comprising one or more strings, the
5 method being characterized by:

forming a structure for each of at least some of said
strings, in which structure a string is associated with
each pair of text units in which the string occurs;

10

for each pair of text units summing the number of
occurrences of each other text unit in the same structure
or structures so as to form an individual score for each
pair of text units; and

15

processing said individual scores for each pair of text
units in order to form a final score for each pair of text
units to determine how many times any string is shared
between each pair of text units and other text units.

20

2. A method of operating on a text as claimed in claim 1,
which includes the further step of ranking the text units
on the basis of said individual scores.

[illegible]

strings are words forming said sentences, and the method comprises the additional steps of removing stop-words, stemming each remaining word and indexing the sentences prior to carrying out said summing step, and wherein said structures are stem-index records each comprising a stemmed word and one or more indexes corresponding to sentences in which said stemmed word occurs.

4. A method of operating on a text as claimed in claim 1, wherein said text is associated with a word text comprising words, each word being associated with one or more subject codes representing subjects with which said word is associated, and wherein said strings are subject codes associated with said words.

5. A method of operating on a text as claimed in claim 4, which comprises the further step of keeping a record of the word spelling associated with each occurrence of a subject code in a text unit, and wherein during said summing step occurrences of the same subject code in a pair of text units are disregarded if the same word spelling is associated with said same subject code in said pair of text units.

6. A method of operating on a text as claimed in claim 5, wherein said step of disregarding occurrences of subject codes is not carried out for subject codes which relate to only a single word spelling in the word text.

7. A method of operating on a text as claimed in claim 1, wherein said processing step includes calculating a level for each text unit, in addition to said final score, and wherein said level indicates the value of the highest of said individual scores in relation to a threshold value.

8. A storage medium containing a program for controlling a programmable data processor (70) to perform a method as claimed in claim 1.

9. A system for ranking text units in a text, the system comprising a data processor (70) programmed to perform the steps of the method of claim 1.

1/3

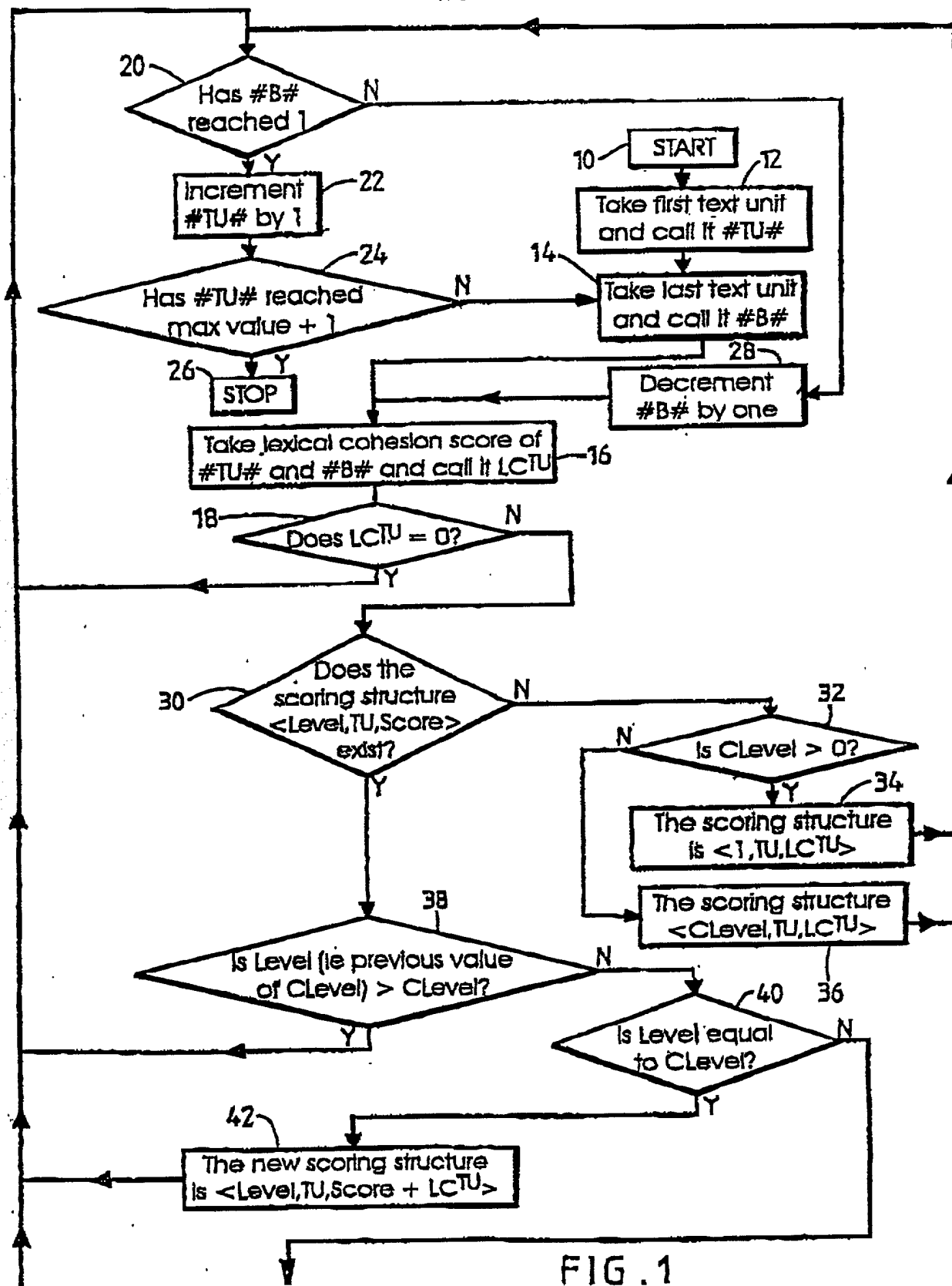


FIG. 1

2 / 3

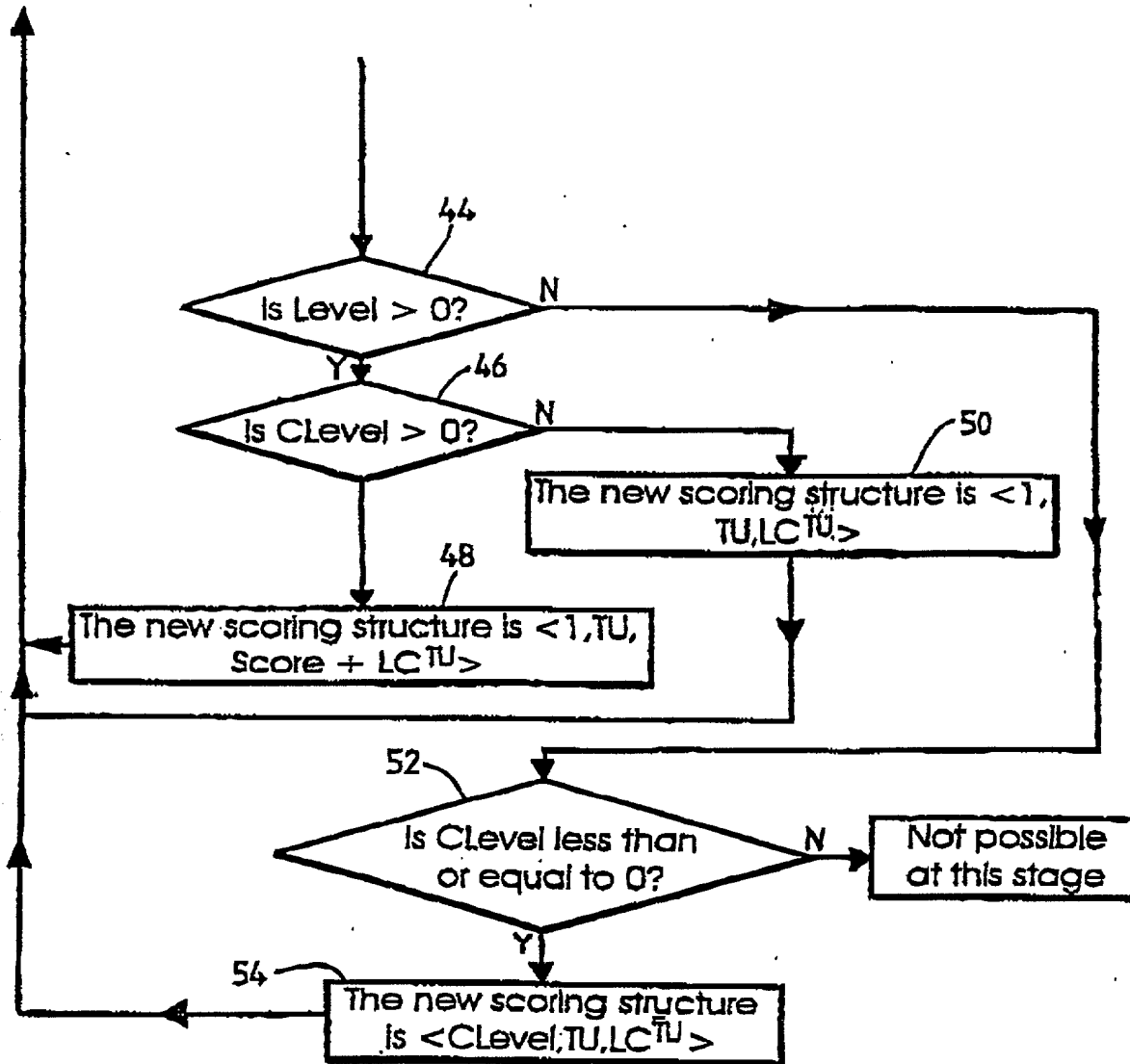


FIG. 2

3/3

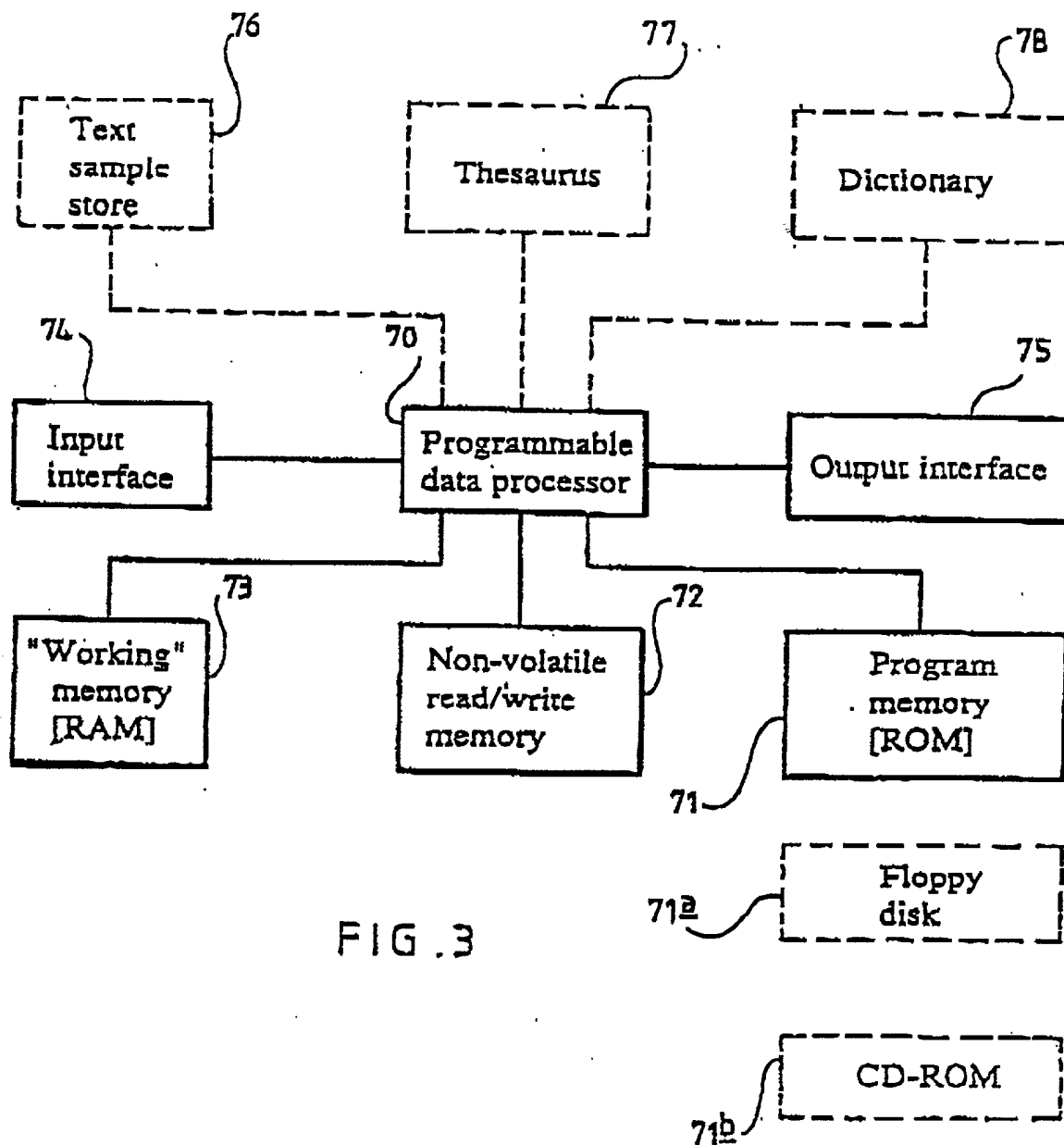


FIG. 3

Attorney Docket No. YAMAP0728US

COMBINED DECLARATION AND POWER OF ATTORNEY
(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Title: SCORING OF TEXT UNITS

the specification of which

(a) is attached hereto.

(b) x was filed on July 20, 2000 as Serial No. 0 / or X Express Mail No. EK347083006US, as Serial No. not yet known, and was amended on (if applicable).

(c) x was described and claimed in PCT International Application No. PCT/JP99/00259 filed on January 22, 1999 and amended under PCT Article 34 on February 9, 2000 (if any).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations §1.56(a).

PRIORITY CLAIM

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed.

(d) no such application have been filed.(e) x such applications have been filed as follows.

EARLIEST FOREIGN APPLICATION(S), IF ANY FILED WITHIN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
<u>Great Britain</u>	<u>9801784 1</u>	<u>29/01/98</u>	<u>x</u> Yes <u> </u> No
<u> </u>	<u> </u>	<u> </u>	<u> </u> Yes <u> </u> No

ALL FOREIGN APPLICATION(S), IF ANY FILED MORE THAN 12 MONTHS
(6 MONTHS FOR DESIGN) PRIOR TO THIS U.S. APPLICATION

POWER OF ATTORNEY

As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)

Armand P. Boisselle, Reg. No. 22,381; Neil A. DuChes, Reg. No. 26,725; Mark D. Saralino, Reg. No. 34,243

The undersigned to this declaration and power of attorney hereby authorizes the U.S. attorney(s) named herein to accept and follow instruction from

Name(s) of authorized representation(s) Shusaku Yamamoto Patent Law Office

Address Fifteenth Floor, Crystal Tower, 1-2-27 Shiomi, Chuo-Ku, Osaka 540, Japan

as to any actions to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney(s) and the undersigned. In the event of a change in the person(s) from whom instructions may be taken, the U.S. attorney(s) will be so notified by the undersigned.

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued therein.

Full name of sole or first inventor Antonio Pietro Sanfilippo

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Full name of second inventor, if any _____

Inventor's signature _____

Date _____ Country of Citizenship _____

Residence _____

Post Office Address _____

Full name of third inventor, if any _____

Inventor's signature _____

Date _____ Country of Citizenship _____

Residence _____

Post Office Address _____

CHECK FOR ANY OF THE FOLLOWING ADDED PAGE(S) WHICH
FORM A PART OF THIS DECLARATION

____ Signature for fourth and subsequent joint inventors. Number of pages added 1.

____ Added page to combined declaration and power of attorney for divisional, continuation, or continuation-in-part (CIP) application.

X This declaration ends with this page.